UNITED STATES PATENT AND TRADEMARK OFFICE

Baker, et al.

Docket No.:

39740-0005A

Serial No.:

10/714,195

Group Art Unit:

1634

Filing Date:

November 14, 2003

Examiner:

Unassigned

Title:

GENE EXPRESSION PROFILING OF EGFR POSITIVE

CANCER

MS: Petition

Commissioner for Patents P.O. Box 1450

Alexandria, Virginia 22313-1450

STATEMENT OF FACTS BY GINGER R. DREGER IN SUPPORT OF PETITION UNDER 37 CFR 1.47(a)

Sir:

I, Ginger R. Dreger, declare as follows:

- 1. I am an attorney registered to practice before the United States Patent and Trademark Office under Registration No. 33,055, and am the attorney of record for the above-identified patent application.
- 2. On May 20, 2004, I prepared a letter to Dr. Jose Baselga, giving him instructions regarding the contents of the patent application and his duties as an inventor and requested that if the application was accurate and complete, then he should sign the Declaration and Assignment. Along with the letter, I enclosed the following: (a) a copy of the above-identified patent application as filed (including specification, claims and drawings); (b) a Combined Declaration for Patent Application and Power of Attorney; and (c) an Assignment.
- 3. I signed the letter, and instructed my assistant, Cheryl Rogers, to send the package to Dr. Baselga at his work address, via Federal Express (standard overnight delivery).
- 4. On May 24, 2004, Ms. Rogers received a delivery report from Federal Express indicating that the package had been signed and accepted for Dr. Baselga by S. Ello.

5. Subsequently, I asked Ms. Rogers to send an e-mail reminder to Dr. Baselga, which she did on June 24, 2004.

On July 30, 2004 I asked Ms. Rogers to make a further copy of the patent

application, Declaration and Assignment, and re-send the package to Dr. Baselga by Federal Express, to the same work address. Subsequently, Ms. Rogers informed me that

delivery was confirmed by Federal Express on August 2, 2004.

During the time between May 20, 2004 and July 30, 2004, I have made

several telephone calls to Dr. Joffrey Baker at Genomic Health, Inc., assignee of the

above-identified patent application, asking his assistance with obtaining Dr. Baselga's

signature. I was informed that Dr. Baselga refused to sign the Declaration and

Assignment documents.

8. I hereby declare that all statements made herein of my own knowledge are

true and that all statements made on information and belief are believed to be true, and

further that these statements were made with the knowledge that willful false statements

and the like so made are punishable by fine or imprisonment, or both, under Section 1001

of Title 18 of the United States Code and that such willful false statements may

jeopardize the validity of this application or any patent issuing thereon.

Respectfully submitted,

Date: September 21, 2004

Ginger R. Dreger

Reg. No. 33,055

Heller Ehrman White & McAuliffe, LLP

Customer No. 25213

275 Middlefield Road Menlo Park, CA 94025

Tel: (650) 324-7000 Fax: (650) 324-0638



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Baker, et al.		Docket No.:	39740-0005A
Serial No.:	10/714,195		Group Art Unit:	1634
Filing Date:	November 14	, 2003	Examiner:	Unassigned
For:	GENE EXP	RESSION PROFI	LING OF EGFR POS	SITIVE CANCER
SIGNATUI INVENTOR	RE BY PERSO IS AVAILABI	N WITH SUFFIC LE TO SIGN ANI	CIENT PROPRIETAE	ER OF ATTORNEY FOR RY INTEREST WHERE NO LL THE INVENTOR(S) WHO 37 C.F.R. § 1.47(b))
I, Ran (Typed or Pri	dy Scott, Ph.D. inted name of po	erson authorized to	sign on behalf of Geno	omic Health, Inc.)
I. I am a ci	tizen of <u>U5</u>	4; residir	ng at <i>24032 </i>	oll Cr. Los Alfos, CA 940
II. I,				
	am a person w	ith sufficient propi	rietary interest.	
\boxtimes	am authorized interest,	by the following p	erson or juristic entity	with sufficient proprietary
Genomic Healt	th, Inc., 301 Peb	nobscot Drive, Re	dwood City, CA 94063	
Chairman & C Title of person		leclaration on beha	lf of Assignee	
_	Rofe	A		
Signature		\bigvee		
III. By virtue	e of this propriet	tary interest, I sign	this declaration on beha	alf of, and as agent for:
Full Name of N	Non-Signing Inv	entor who:		•
\boxtimes	refuses to sign	; or		
	cannot be four	nd or reached.		
		_	so inserted at the approp on has been filed for this	-
Jose Baselga				g. Vall de"hebron 119-120,
Name of non-signi	ing inventor	Barcelona 0803 Last known address	5, SPAIN of non-signing inventor	
Spain Country of citizens	ship of non-signing	inventor		

Note: Ordinarily, the last known address will be the last known residence of the non-signing inventor(s). A post office box is insufficient. Other addresses at which the non-signing inventor(s) may be reached should also be given (and these can best be given in the Statement of Facts In Support of Filing on Behalf of Non-signing Inventor). M.P.E.P. § 409.03(e), 6th ed.

- IV. Upon information and belief, I aver those fact that the inventor is required to state, 37 C.F.R. § 1.64(b).
- V. Accompanying this declaration is:
 - (1) A Statement of Facts in Support of Filing on Behalf of Non-Signing Inventor;
 - (2) A Statement By Person Signing on Behalf of Non-Signing Inventor Establishing proprietary Interest, to establish the proof of pertinent facts, and to show that such action is necessary to preserve the rights of the parties or to prevent irreparable damage, and
 - (3) The petition fee of \$130.00. (37 C.F.R. § 1.17 (i)).

Date: September 17, 2004

Randy Scott, Ph.D. Chairman and CEO Genomic Health, Inc.

(On behalf of non-signing inventor)

SV 2059463 v1 9/17/04 8:55 AM (39740.0005) THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Baker, et al.

Docket No.:

39740-0005A

Serial No.:

10/714,195

Group Art Unit:

1634

Filing Date:

November 14, 2003

Examiner:

Unassigned

Title:

GENE EXPRESSION PROFILING OF EGFR POSITIVE CANCER

MS: Petition

Commissioner for Patents

P.O. Box 1450

Alexandria, Virginia 22313-1450

DECLARATION OF CHERYL ROGERS IN SUPPORT OF PETITION UNDER 37 CFR 1.47(a)

Sir:

- I, Cheryl Rogers, declare and state as follows: -
- 1. I am a patent assistant at the law firm of Heller Ehrman White and McAuliffe LLP.
- 2. On May 20, 2004, I sent a package to Dr. Jose Basalga containing the following: (a) a letter prepared and signed by Ms. Ginger R. Dreger; (b) a copy of the above-identified patent application as filed (including specification, claims and drawings); (c) a Combined Declaration for Patent Application and Power of Attorney with a tab indicating the spot where Dr. Basalga was to sign; and (d) an Assignment with a tab indicating the spot where Dr. Basalga was to sign. The package was sent via Federal Express (standard overnight delivery) to the following address:

Vall d'Hebron University Hospital Pg. Vall d'Hebron, 119-129 Barcelona 08035 SPAIN

which is the last known work address of Dr. Baselga. A copy of the letter is attached to the present Declaration as "Exhibit A."

3. I prepared the Federal Express label myself, inserted the above-identified documents into the envelope, sealed the envelope and left it for our firm's mail services to pick up and deliver to Federal Express.

4. I subsequently received a confirmation of delivery from Federal Express, a copy

of which is attached to this Declaration as "Exhibit B.".

5. On June 24, 2004 I sent Dr. Basalga an e-mail requesting that he sign the

documents forwarded to him on May 20, 2004 and return them to me at his earliest convenience.

A copy of this e-mail is enclosed as "Exhibit C."

6. On July 30, 2004, I again sent, via Federal Express a duplicate copy of the

Combined Declaration for Patent Application and Power of Attorney for Dr. Baselga's signature.

A confirmation of delivery received from Federal Express is attached to this Declaration as

"Exhibit D."

7. Non-signing inventor, Dr. Baselga has not contacted this firm, nor has he

returned the documents (signed or unsigned).

8. I hereby declare that all statements made herein of my own knowledge are true

and that all statements made on information and belief are believed to be true, and further that

these statements were made with the knowledge that willful false statements and the like so made

are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United

States Code and that such willful false statements may jeopardize the validity of this application

or any patent issuing thereon.

Respectfully submitted,

Date: September 21, 2004

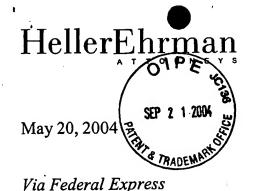
Heller Ehrman White & McAuliffe, LLP

Customer No. 25213 275 Middlefield Road

Menlo Park, CA 94025 Tel: (650) 324-7000

Fax: (650) 324-0638

SV 2062649 v1 9/21/04 1:52 PM (39740.0005)





Ginger R. Dreger gdreger@hewm.com Direct (650) 324-7115 Direct Fax (650) 324-0638 Main (650) 324-7000 Fax (650) 324-0638

39740.0005

Jose Baselga Director on Oncology Vall d'Hebron University Hospital Pg. Vall d'Hebron, 119-129 Barcelona 08035 SPAIN

Re: U.S. Patent Application No. 10/714,195

Title: GENE EXPRESSION PROFILING OF EGFR POSITIVE CANCER

Filed: November 14, 2003

Our Reference No.: 39740-0005A

Dear Dr. Baselga:

In order to secure an early filing date, the above-identified application was filed with an unsigned Declaration. In order to complete formalities, enclosed is a copy of the application as filed on November 14, 2003, along with a Declaration and Power of Attorney by Inventors and Assignment form. In order to maintain this filing date and sustain the pendency of the application the "formal" documents relating to this application must be executed and filed in the U.S. Patent and Trademark Office by May 24, 2004.

United States patent laws require that the application describe the invention, and the method for making and using it, completely and accurately such that a person who has an ordinary amount of skill in the technology pertaining to this invention could, after reviewing the application, make and use the invention. Additionally, the patent laws require that the application set forth the preferred implementation or "best mode" of carrying out the invention. If the application would not permit such persons of ordinary skill to make and use the invention, or if you, at this time, know of a better way to make or use your invention than that which is described in the enclosed application, please let us know immediately.

Please carefully read the enclosed patent application in connection with the above requirements, and if there is anything in the application that appears to be incomplete or inaccurate, or that may be misleading, then contact me at once.

HellerEhrman

Please read the Declaration which is attached to the back of the application. You must carefully consider certain matters before signing the Declaration.

The Declaration states that there is a duty to disclose information regarding earlier developments and the like which may be material to the examination of the application. If you know of such information now or learn of any while the application is pending in the U.S. Patent and Trademark Office, please advise me promptly.

Further, the Declaration states the inventors that have been named when filing the above-identified patent application. If the inventors or you have reason to believe that any of the named inventors not be an inventor, or that anyone may have been omitted as an inventor, please contact me immediately.

You should sign and date the enclosed Declaration where indicated. Also, you should execute both the Declaration and the Assignment on the same day. The Declaration and Power of Attorney should be signed on the same day or earlier than the Assignment, but not after. After execution, please return the papers to us, in the enclosed Federal Express envelope, for filing in the U.S. Patent and Trademark Office.

If you have any questions or comments, please call.

Sincerely,

Ğinger R. Dreger

Enclosures

SV 2029866 v1 5/19/04 4:35 PM (39740.0005)

DECLARATION FOR UTILITY OR

DESIGN

PATENT APPLICATION (37 CFR 1.63)

PTO/SB/01 (12-97) Approved for use through 9/30/00.OMB 0651-0032

39740-0005A

Baker, et al.

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Attorney Docket Number

First Named Inventor

Application Number

Colombia d	Submitted	after Initial	Filing Da	ate	Nov	ember 14, 200	3				
Submitted OR with Initial	Filing (su	rcharge	Group A	rt Unit	Üna	assigned					
Filing	(37 CFR required)		Examin	er Name	Una	assigned					
	•					-					
As a below named Invento						• .					
My residence, post office a	iddress, and citiz	enship are as st	ated belov	v next to my nan	ne.						
I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:											
Tightes are noted betaty at	Harries are listed below) of the subject matter when to summer to										
GENE EXPRESSION PROFILING OF EGFR POSITIVE CANCER											
1 ¥ 1		/Titl	o of the In	vention)							
(Title of the Invention) the specification of which is attached hereto											
was filed on	OR was filed on 11/14/03 as United States Application Number or PCT International										
Application Number 10/714,					plicable).						
I hereby state that I have amended by any amendment	t specifically refe	erred to above.					the claims, as				
I acknowledge the duty to di	sclose informatio	n which is mate	rial to pate	entability as defir	ned in 37 CFR	1.56.					
I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or _365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.											
Prior Foreign Application	Country	Foreign Fili		Prior Not Cla		Certified Co YES	py Attached? NO				
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☐ Additional foreign applic	ation numbers a	re listed on a su	pplementa	al priority data sh	eet PTO/SB/	028 attached here	eto:				
I hereby claim the benefit ur	nder 35 U.S.C. 1	19(e) of any Uni Filing Date	ted States	provisional app	ication(s) liste	ed below.					
Application Numbe	r(s)										
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(Page 1 of 2)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of the application is not

designated in the p I acknowledge the between the filing of	duty to	disclose informa	ition wt	nich is r	material to	o pate	entability as	detir	ned in 37 Ch	R 1.56 WNIC	oh of S sh bed	31 U.S.C. 112. came available
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☐ Additional U.S.	or PCT	international appli	cation n	umbers	are listed	on a	supplementa	l prio	rity data shee	et PTO/SB/02	8 atta	ched hereto.
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☐ Additional regist	Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.											
Direct all correspo	Direct all correspondence to: Customer Number or Bar Code Label OR Correspondence address below											
Name	Ginge	r R. Dreger, Esq	r R. Dreger, Esq.									
Address	HELL	ER EHRMAN WI	IITE &	McAUL	IFFE, LL	P						
Address	275 N	liddlefield Road										
City	Menlo	Park			· .		State	CA	CA ZIP 94025			
Country	USA			phone		/324-7			Fax	650/324-06		
I hereby declare the believed to be true; punishable by fine application or any p	and full or impri	ther that these st sonment, or both,	atomon	te word	made wit	h the	knowledge 1	tnat v	miitui taise si	atements and	ı me ı	ike so made are
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Giver	Name	(first and middl	e (if an	у)		Family Name or Surname						
Joffre B. Baker												
Inventor's Signat	ure			· · · · · · · · · · · · · · · · · · ·			 			Date	<u> </u>	
Residence: City		Montara	s	tate	CA	Country USA Citizenship			USA			
Post Office Addre	ess	ss 1400 Avery Street								-		
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	ntors ar	e being named o	n the _	SI	upplemen	ital Ad	ditional Inv	ento	r(s) sheet(s)	PTO/SB/02/	A atta	ched hereto:

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ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 3 of 3

Name of Additional	loint Inventor	if any:			petition ha	s been filed for	this unsign	ed ir	nventor	
			A petition has been filed for this unsigned inventor Family Name or Surname							
Given Name	(first and middle (if	any)						-		
	Maureen T.					Cror	in			
Inventor's Signature				- 			Date			
Residence: City	Los Altos	State	CA		Country	USA	Citizensh	ip_	USA	
Post Office Address	771 Anderson Av	enue			,					
Post Office Address							 			
City	Los Altos	State	C/	١ .	ZIP	94024	Country		USA .	
Name of Additional Joint Inventor, if any:				A petition has been filed for this unsigned inventor						
Given Name	(first and middle (it	any)				Family Name	or Surnam	e		
Steve				Shak						
Inventor's Signature							Date	٠.,	· · · · · · · · · · · · · · · · · · ·	
City	Hillsborough	State	C	A	Country	USA	Citizensh	ip	USA	
Post Office Address	648 Fairway Circ	e								
Post Office Address	·									
City	Hillsborough	State	C	A	ZIP	94010	Country		USA	
Name of Additional	Joint Inventor,	if any:		A petition has been filed for this unsigned inventor						
Given Name	e (first and middle (i	f any)				Family Name	or Surnan	ne		
	Jose			Baselga						
Inventor's Signature							Date	<u> </u>		
City	Barcelona	State			Country	Spain	Citizensi	hip	Spain	
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ASSIGNMENT OF APPLICATION	Docket Number 39740-0005A
Whereas, the undersigned:	
Jose Baselga Vall d'Hebron University Hospital Pg. Vall d'Hebron, 119-129 Barcelona 08035	
SPAIN	
hereinafter termed "Inventors", have invented certain new and useful improvements in	-
GENE EXPRESSION PROFILING OF EGFR POS	ITIVE CANCER
of or which an application for United States Patent was filed on November 14, 2	<u>1004</u> , Application No. <u>10/714,195</u>
for which an application for a United States Patent was executed on	, and
WHEREAS, <u>VALL D'HEBRON UNIVERSITY HOSPITAL</u> , a corporation having a place <u>08035, SPAIN</u> , (hereinafter termed "Assignee"), is desirous of acquiring the entire right, title invention disclosed therein, and in and to all embodiments of the invention, heretofore conce. Inventors (all collectively hereinafter termed "said invention"), and in and to any and all pate (hereinafter termed "patents") thereon granted in the United States and foreign countries.	e and interest in and to said application and the ived, made or discovered jointly or severally by said ents, inventor's certificates and other forms of protection
NOW, THEREFORE, in consideration of good and valuable consideration acknow from said Assignee:	
1. Said Inventors do hereby sell, assign, transfer and convey unto said Ass application and said invention; (b) in and to all rights to apply for foreign patents on said invention of Industrial Property or otherwise; (c) in and to any and all applications filed and United States or any foreign country, including each and every application filed and each and divisional, substitution, continuation, or continuation-in-part of any of said applications; and any of said patents.	rention pursuant to the International Convention for the lany and all patents granted on said invention in the d every patent granted on any application which is a (d) in and to each and every reissue or extensions of
2. Said Inventors hereby jointly and severally covenant and agree to coope enjoy to the fullest extent the right, title and interest herein conveyed in the United States and shall include prompt production of pertinent facts and documents, giving of testimony, executother papers, and other assistance all to the extent deemed necessary or desirable by said Assand interest herein conveyed; (b) for prosecuting any of said applications; (c) for filing and padditional applications covering said invention; (d) for filing and prosecuting applications for other priority proceedings involving said invention; and (f) for legal proceedings involving spatents granted thereon, including without limitation reissues and reexaminations, opposition contests, public use proceedings, infringement actions and court actions; provided, however, such cooperation shall be paid for by said Assignee.	d foreign countries. Such cooperation by said Inventors ution of petitions, oaths, specifications, declarations or signee (a) for perfecting in said Assignee the right, title prosecuting substitute, divisional, continuing or or reissuance of any said patents; (e) for interference or said invention and any applications therefor and any in proceedings, cancellation proceedings, priority, that the expense incurred by said Inventors in providing
 The terms and covenants of this assignment shall inure to the benefit of representatives, and shall be binding upon said Inventors, their respective heirs, legal representatives. 	f said Assignee, its successors, assigns and other legal entatives and assigns.
4. Said Inventors hereby jointly and severally warrant and represent that the assignment, contract, or understanding in conflict herewith.	hey have not entered and will not enter into any
IN WITNESS WHEREOF, said Inventors have executed and delivered this instru	ment to said Assignee as of the dates written below:
Date: JOSE BASELGA	
Date:	
Date:	

Rogers, Cheryl

SEP 2 1 2004

From: Sent: To: Subject: FedEx [donotreply@fedex.com]
Monday, May 24, 2004 2:22 PM
Rogers, Cheryl

FedEx shipment 790646092062

Our records indicate that the shipment sent from CHERYL A ROGERS/HELLER EHRMANN WHITE & M

to Jose Baselga/Vall d'Hebron University Ho has been delivered. The package was delivered on 05/24/2004 at 2:30 PM and signed for or released by S.ELLO.

The ship date of the shipment was 05/20/2004.

The tracking number of this shipment was 790646092062.

FedEx appreciates your business. For more information about FedEx services, please visit our web site at http://www.fedex.com

To track the status of this shipment online please use the following: http://www.fedex.com/cgi-bin/tracking?tracknumbers=790646092062 &action=track&language=english&cntry_code=us

Disclaimer

FedEx has not validated the authenticity of any email address.

Total Weight: 3 LB

From: Origin ID: HGTA (650) 324-7164 **CHERYLAROGERS**

HELLER EHRMANN WHITE & MCAULIF 275 MIDDLEFIELD ROAD

MENLO PARK, CA 94025 **UNITED STATES**

SHIP TO: 011932746000

BILL SENDER

Jose Baselga

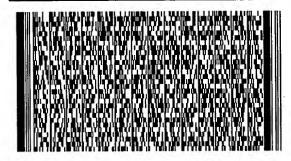
Vall d'Hebron University Hospital Pg. Vall d'Hebron

119-129

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SPAIN ES



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Actual Wgt: 3 LB System#: 2046305/INET1800 Account#: S*********

REF: 39740-0005A DESC-1: Business Documents DESC-2:

DESC-3:

DESC-3:
DESC-4:
SED: NDR30.55(h)
COUNTRY MFG:
CARRIAGE VALUE: 0.00 USD
CUSTOMS VALUE: 0.00 USD
T/C: \$ 111859426
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D/T: S 111859426

SIGN: CHERYL A ROGERS

EIN/VAT:

INTL PRIORITY PAK

7906 4609 2062 TRK#

FORM

AM MAD

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Shipping Label: Your shipment is complete This shipping label constitutes the air waybill for this shipment. 1.Use the "Print" feature from your browser to send this page to your laser or inkjet printer. Fold the printed page along the horizontal line.

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Rogers, Cheryl

From:

Rogers, Cheryl

Sent:

Thursday, June 24, 2004 1:45 PM

To:

'baselga@hg.vhebron.es'

Subject:

Formal Documents for Patent Application





39740-0005A DEC_POA.DOC 19750-0005A

Dear Dr. Baselġa:

My name is Cheryl Rogers and I am Ginger Dreger's assistant from Heller Ehrman White & McAuliffe. Ms. Dreger is the patent attorney for Genomic Health.

On May 20, 2004 I sent you a Declaration/Power of Attorney and Assignment for your signature (sent via Federal Express). As of this date I have not received the documents back. The documents were originally due for filing with the U.S. Patent & Trademark Office by April 24, 2004. However, extensions of time may be requested upon payment of the appropriate government fees. We are currently into our third month of extension fees and each month the cost rises. The final deadline to file these documents is September 24, 2004.

I have attached the documents to the e-mail for your convenience. Kindly, at your earliest convenience, execute the documents where indicated and return them to me via Federal Express. Failure to file these documents with the Patent & Trademark Office will result in the application becoming abandoned and potentially having to be refiled at further expense.

If you have any questions or wish additional information, please contact me. Thank you.

Cheryl Rogers | Patent Secretary |

HellerEhrman | 275 Middlefield Road | Menlo Park, CA 94025 tel: 650-324-7164 | fax: 650-324-0638 | email: crogers@hewm.com | web: www.hewm.com Heller Ehrman White & McAuliffe LLP

Rogers, Cherrie

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To: Subject: FedEx [donotreply@fedex.com]
Monday, August 02, 2004 11:49 AM
Rogers, Cheryl
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